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Towards a Method for Combined Model-based Testing and Analysis

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Abstract: Efficient and effective verification and validation of complex embedded systems is challenging, and requires the use of various tools and techniques, such as model-based testing and analysis. The aim of this paper is to devise an overall method for how analysis and testing may be used in combination to increase the quality of embedded systems, and reduce development cost. The method is centered on a common verification planning and iteratively exploiting the established results to strengthen the verification activities. We conclude that the proposed method is general enough to capture most interesting combinations and workflows, but also that formulation of more specific combination patterns will be useful to encourage future tool collaborations.

1 INTRODUCTION

The verification and validation (V&V) of complex embedded systems is a challenging and costly task. Manufacturers are under a high pressure for delivering increasingly intelligent and feature-rich products with short time-to-market, a high quality, and a low defect rate. Embedded systems such as those in the European transport domain (automotive, rail, and aerospace) must be convincingly demonstrated to satisfy numerous safety, functional, and extra-functional requirements (Henzinger and Sifakis, 2007). The costs and efforts needed to accomplish this with current industrial V&V-techniques are too high.

Current practices emphasize the use of testing based V&V. These have well-known limitations such as cost and effort in developing test suites and maintaining test benches, low coverage (few sample behaviors explored, corner cases difficult to hit), and is not always systematically applied. On the positive side they work on larger systems with rich extra-functional properties, and demonstrate the actual system behavior. Generally speaking, testing tends to be applied late.

In contrast, analysis techniques have great potentials in being applied early and produce safe/guaranteed results through an underlying mechanical proof thus giving higher confidence and coverage. But these methods are challenged by scalability and learnability. Moreover, they work on (often manually created) models or code abstractions, which implies that the results are valid only on these.

It is a main thesis of the MBAT-project1 that significant progress can be reached by the complimentary use and optimized combination of advanced existing model-based analysis and test (A&T) techniques and tools. However, a simple collection of individual tools is insufficient, even if they individually are mature and applicable in an industrial context. Their application must be guided by a supporting method. This paper presents our work in progress towards this challenge.

2 PRELIMINARIES

This section presents the background for the method work. This includes important terminology and presenting a classification of the main automated V&V-techniques, and an explanation of V&V-verdicts.

2.1 Verification and Validation

By verification we mean producing objective evidence for deciding whether the system, components, or work-products under investigation satisfy the specified requirements and standards. Validation

11MBAT (Combined Model-based Analysis and Testing of Embedded Systems) is a European industry led applied research project under Artemis Grant #269335, http://www.mbat-artemis.eu/home/
(IEEE, 2004; Jean-Louis Boulanger, 2012a; Jean-Louis Boulanger, 2012b) is about providing evidence about whether the system solves the right problem and satisfies the users actual needs, which may or may not be accurately reflected in the actual set of requirements. Since verification and validation often go hand in hand, and has many common techniques to evaluate the system, it is sensible to treat them as an integrated V&V-activity (Wallace and Fujii, 1989).

Moreover, since the method is also using formal verification techniques we prefer the term analysis to denote these, see Section 2.4.

2.2 Model-based V&V

It is believed that the use of models will help defects to be prevented and found earlier, more efficiently, cheaper, and resulting in a higher quality end-product. A model is an abstract simplified view of reality, in which essential properties are recorded, and other properties and details irrelevant for the problem at hand are removed. During design, models are used for e.g., better communication among engineers, documentation, architecture and behavioral design and decomposition, design space exploration, and code/controller synthesis. During V&V, models support consistency and completeness of requirements, verification of system/sub-system/component behavior and protocols, and test case generation. See also (Mellor et al., 2003; Estefan et al., 2007; France et al., 2006; Jean-Louis Boulanger, 2012b).

2.3 Context and Requirements for Method

The method must work under some basic preconditions. These are:

- It is developed primarily from the perspective of validation and verification as carried out by (sometimes independent) verification and validation teams/experts.
- It must support different abstraction levels ranging from system level, sub-system/control-level, and component/code level. It must support functional as well as extra-functional properties like timing, reliability, and performance.
- It must work with a heterogeneous collection of models and tools. First, there is not a single modeling notation that is readily able to capture the above rich set of properties at all abstraction levels. Second, the preferences of modeling notation are not the same across all domains and industries (e.g., Simulink in the automotive domain and Scade in the rail and avionic domains). Even agreeing on a common notation for requirements formalization is problematic. Thirdly, tools with different verification strengths are supplied by different tool vendors, and are not interoperable a priory and with semantic variations. Therefore the presentation here is deliberately agnostic about a specific notations. Thus the required V&V-evidence is likely to be pieced together from different verification steps produced by different tools and techniques. MBAT will enable interoperation and exchange of artifacts and results via a “Reference Tool Platform” (RTP) also being developed in the project.
- It must be applicable in an industrial context. This implies that it must be understandable and usable by industrial V&V-engineers, and advanced mathematical theories must be well hidden. It must further be compatible with industrial development processes: Although agile and highly-iterative processes are becoming more used, the V-model is still the main workhorse and the main reference model.

2.4 Main Automated V&V-Techniques

Overall, V&V can be performed using static techniques or dynamic techniques. Static techniques analyzes the system (or artifacts describing it) without actually executing it. Dynamic techniques are based on observing sample executions of the system (or artifacts describing it). Figure 1 provides a classification of the most important techniques investigated in the MBAT-project, and also points out some well-known hybrid techniques. See additionally (D’Silva et al., 2008).

Model-checking is a static technique that algorithmically checks logical properties of a formal behavioral model. Given a finite state model (or one that can be reduced to finite state via abstraction or symbolic representation) of a system and a formal property, a model-checking tool exhaustively checks whether this property holds for that model (Baier and Katoen, 2008). The property may be generic (like (un-)reachability of states and transitions, or deadlock), or user defined safety and liveness requirements. Software model-checking is the application of model-checking directly to programs and source code (Jhala and Majumdar, 2009). To cope with undecidability and the very large state-space of general and non-trivial programs, software model-checking often applies abstraction techniques to the program.

Abstract interpretation based static analysis is a method and theory for creating mathematically sound abstractions of (the semantics of) a program, and using this abstraction to infer properties about the dynamic behavior of the input artifact (normally pro-
gram code). The static code-analyzer algorithmically computes a sound (over-approximation) abstraction of the program and checks (typically) generic or invariant properties of that abstraction. Static code analyzers are successfully used to prove absence of so-called runtime errors (e.g., arithmetic overflows, array bound violations, division by zero, invalid pointer accesses), and to infer quantitative information about the program like worst case stack usage and execution time. It may also be used to prove user defined program invariants. However, since abstract interpretation based tools computes an abstraction they sometimes outputs warnings that after further inspection turns out to be false-positives.

In symbolic execution a program is executed with symbolic input variables or constraints rather than with concrete input data in order to compute the path condition needed to reach a specific program point. Constraint solving is then used to check if the computed path condition is satisfiable or not. The program point may be undesired (e.g., represents a fault) or desired (e.g., a statement to be executed by a test case). That is, symbolic execution has applications to both software verification and white-box test input generation.

Testing is a dynamic technique consisting of the execution of a (software) system under well-defined conditions (predefined environment/input sequences) and checking whether the observed behavior deviates from the specified behavior. In model-based testing, the aim is to check by execution that the behavior of implementation conforms to that prescribed by the specification model. Test case generation tools can auto-generate valid test cases given a set of test purposes or a structural coverage criteria for the model, see e.g., (Utting et al., 2012).

Testing without actively stimulating the system is referred to as passive testing, or monitoring. In run-time verification formal properties are checked against concrete runs of the system under test (Leucker and Schallhart, 2009). Typically the properties are given as logical formulae or as automata accepting or rejecting the runs.

Simulation dynamic technique like testing that consists of the execution of models of (software) systems under pre-defined inputs with the intent of checking its dynamic behavior. Based on sample executions of a model, simulation is used to check selected properties or inspect parameter dependencies. Simulation is included as a separate main technique because of its importance for executing models. When a model-execution is supervised by a test case it is referred to as model-in-the-loop (MiL) testing. Simulation may also be used as an under-approximation mode for model-checkers. Statistical model-checking (Legay et al., 2010; Bulychev et al., 2012) takes this further and uses hypothesis testing to make probabilistic guarantees about satisfaction of formal properties of runs of models with a stochastic interpretation.

There are several additional techniques that shall not be elaborated here. These include theorem proving, and well-established manual scrutiny techniques like Review, Inspection, Walkthrough, or Audits, see e.g., (Eagan, 1986; IEEE, 1998).
2.5 Verdicts

In our terminology, a V&V-objective is a description of the capability to be analyzed or tested by a specific procedure defined in detail as a V&V-case, which in our case is either an analysis case or a test case (A&T-case). The objective is typically derived from a requirement or related to an obligation for verification or validation. A requirement may induce several V&V-objectives. Dually, a particular V&V-case may check for more V&V-objectives, but a requirement should map to at least one V&V-objective and one V&V-case.

The outcome of executing a particular V&V-case is generally one of the four following:

- **Pass:** The analysis or test result adheres to the V&V-objective. That is, the observation requirement defined by the objective and A&T-case was successfully obtained without any evidence to the contrary.
- **Fail:** The analysis or test result does not adhere to the V&V-objective. The observed behavior contradicts the required and allowed behavior. Hence, evidence of non-compliance has been identified.
- **Inconclusive:** The evaluation cannot be evaluated to be pass or fail.
- **Suspect:** Suspicious behavior has been identified during execution of test or analysis that makes the result untrustworthy. It may also be caused by a property that has been particularly hard to verify. In any case, a need for additional V&V has been identified by new A&T-cases.

A reason for an inconclusive verdict is that the desired observation from a test-case cannot be made due to non-determinism in the system, a failure in the test harness, or unacceptable execution time. Further, a formal analysis may have a “Possibly-satisfied” (or a “Possibly-not satisfied”) outcome, caused by the over- or under-approximations of system behavior sometimes made by analysis tools to make analysis decidable or more efficient.

3 THE OVERALL METHOD

3.1 Combining Analysis and Testing

Consider a given level of abstraction (system, subsystem or component-level), the V&V will be conducted using a combination of analysis of models and of code, and testing of models, code and integrated systems. The overall method is depicted in Figure 2. It operates with two main principles.

The first principle is the establishment of a common verification plan. This is inspired by hardware verification (Foster et al., 2006) that seems to be more advanced in combination of analysis and testing that the current practice in embedded software development. A verification plan includes a framework for specifying requirements and derived verification objectives independent of the actual verification techniques used to verify them, and of common assumptions about the environment of the considered subsystem. It also includes a mechanism for tracking the verification status for each objective (i.e., verdicts and confidence in the results). It is a thesis that when all objectives have been successfully verified with the required confidence, that sufficient “evidence” has been produced to conclude that the system is correct. A requirements verification matrix (RVM) (Engel, 2010) developed during initial V&V-planning may serve as a starting point for more refined planning. An RVM specifies how (by what verification method and by what procedure) and when (at what point in the lifecycle) each requirement will be verified.

The second principle is to exploit the results obtained from one verification step to initiate or improve a planned subsequent step. This is captured in the feedback loop in Figure 2 from a verification step (via the A&T-model) to the verification plan.

Figure 2 also shows that verification objectives may be propagated from one abstraction level to the next. Results established by verification at a lower level, can be used as an assumption when considering models at a higher level. Similarly, simplifications, abstractions made at a higher level must be justified through modeling, testing, and verification at lower levels. For example, worst-case execution time (WCET) analysis of the code at the implementation level is needed to perform schedulability analysis and task allocation optimization at the sub system level, which again is necessary to establish system level end-to-end timing properties. Also a simplification of the functionality of a component in a model, may need to be complemented by proving an invariant of the component refinement.

We have tried to capture an assume-guarantee
style thinking behind the method, but we have also found no formal framework that is directly applicable in industry because it is extremely difficult to come up with usable proof-rules and assumptions (Namjoshi and Trefler, 2010; Kharmeh et al., 2011).

Thus the main steps of the overall method are:

1. The requirements, assumed to be refined to fit the given level of abstraction, are inspected and used to formulate verification objectives. These are partitioned into sub-sets that should be checked by model-analysis, testing, and static code analysis using the most suitable technique for that objective.

   In general our recommendation is to perform analysis first, and use testing for what cannot be analyzed. The main argument is that analysis is typically applicable earlier, and gives higher confidence in the results. However, this must be balanced against the criticality and complexity of the underlying requirement and system, and the effort that may be needed to perform formal analysis using a particular technique and tool versus applying testing (more critical and complex requirements suggest analysis). Making the right decision relies of insights by the V&V engineer. In addition, there are often functional and extra-functional requirements that cannot be checked on the model level, because the model is not rich or detailed enough - e.g., one cannot verify timing on a model that is purely functional.

2. From the requirements and other engineering artifacts available, a model is constructed for the V&V task at hand. It is not trivial to make a good model that is understandable, accurately and truthfully captures the behavior needed to determine the selected V&V-objectives, and contains no irrelevant details (Mader et al., 2007). Further, it should also be traceable such that each structural element of a model can be explained and either maps to an aspect of the component under modelling, encodes some implicit domain knowledge, or represents an explicit assumption.

3. After identification of the V&V-objectives and model-construction, the specific analysis or test cases are formulated (or generated), and the respective analysis or test step is executed to obtain results.

4. The results include a verdict for each analysis or test case together with log-files, computed metrics, traces etc. Inspection of the results may cause different actions depending of the outcome. If the verdict is pass, it is assumed that the V&V-objective is verified and sufficient evidence is at hand to reasonably conclude that it is satisfied and no further V&V for that is necessary. If the outcome is fail, corrective actions are needed: identify cause for discrepancy, and correct all impacted artifacts. Possibly further V&V-objectives need to be formulated to rule out further similar defects. If the result is inconc the V&V-objective (or underlying requirement) needs further checks, e.g., by alternative techniques or alternative tools (e.g., simulation, testing, or manual test), or by refining the objective (or requirement) into simpler sub-requirements. If suspect behavior has been identified, additional V&V-objectives have to be formulated to identify whether the behavior is correct or problematic.

5. The V&V plan must be updated with the new verification status, and a revised plan for the changed items must be made. The procedure is iterate until the V&V-engineer has reached the required confidence level.

There are a number of ways where one (test or analysis) verification step may benefit from results established by another (the exploitation feedback loop). Some (non-exhaustive) examples are:

   - **Under-approximation:** Use (under) approximate techniques like simulation or statistical model-checking for the objectives where it turned out that full analysis is infeasible.
   - **Targeted A&T:** If a test reveals a defect, it may be worth the effort to target the problematic component with analysis due to the bug-clustering assumption. Similarly, if a defect is identified by (model) analysis, it may be worthwhile to create additional test cases for that objective to increase confidence of the implementation. Also historical defect data and inspection results may be used (Elberzhager et al., 2012).

\(^\text{2}\)Some MBT-tools use model-checkers internally to reach a criterion a-priori.
Model-warmup: A test run/simulation run revealing an interesting situation (like a failing test run) should be further analyzed by importing this scenario to the model-checker.

Analyze test model: In model-based testing, the test model is the specification of the test cases, and the test model must therefore be shown to be valid according to the requirements. Otherwise invalid test cases may be generated.

It is not our goal here to enumerate all options, but to provide a common framework that is able to capture the most important ones.

3.2 V&V-flow from Requirements to System

The main V&V-flow across the different levels of system abstractions is depicted in Figure 3 along with the logical relation between models, and typical techniques used to determine these relations.

1) From the requirements, a (formal) specification model is constructed that reflects the main aspects of specified behavior. As hinted in Figure 3 the requirements model reflects a logical conjunction of the informal requirements. Such a high-level model both greatly helps in understanding the implications of the requirements, and in obtaining a complete and consistent set of requirements very early. The consistency of the model can be checked by animation and visualization, logical satisfiability checks, and other sanity checks (deadlock, basic reachability, etc.)

2) From this requirement model, the design and V&V-flow can start; various analysis, test, and design models can be derived. Ideally, the dedicated A&T-models are derived through automatic semantic preserving transformations. However, this is not always possible, but still the manual construction use information from design models and documents. Also V&V is sometimes required to be conducted independently of the developers. This may then require a degree of independently constructed models dedicated to V&V; otherwise there is a risk that the same misconceptions that are reflected in the common model will be used by both teams, and hence will go undiscovered.

The A&T-models must satisfy (or refine) the requirements: if both requirement and A&T-models are formalized, this can be done by refinement- or model-checking (provided language compatibility). Alternatively, if the A&T-model is too large or complex, or if analysis tool support is inadequate, MiL testing of the A&T-model can be used as a weaker (under-approximation) technique. The two techniques can be used in conjunction such that requirements that could not be decided by analysis can be tested or simulated.

3) The low level design models are typically richer models and elaborate in detail how (as opposed to what is required) each component is going to function. Logically the relation between the high level and low level design is a refinement. In principle it is a relation between two models, so it can be checked by analysis. However due to richness and size, it may be necessary to do MiL simulation and testing, (or combined as indicated above). Due to size it is often necessary to perform the refinement check component-wise. From a formal perspective compositional techniques are highly desirable. Similarly, for legacy components where no model is available testing may be necessary.

4) The relation between the produced code (manually crafted or synthesized) for a component and its design model is in principle a refinement, that can be checked by a combination of techniques. i) Static code analysis can verify satisfaction of component properties like absence of certain runtime errors, and satisfaction of invariants and assertions typically derived from design or component level requirements. Similarly, with additional platform assumptions, worst-case execution time and stack consumption can be computed. ii) Functionality is checked by SiL-testing (Software-in-the-Loop), iii) Directly model-checking source code (using software model checking) is an alternative (still mostly research-level) technique that may be applicable when developed to an industrial level.

We remark that even when code is automatically generated from a model that has been thoroughly analysed there are situations where it should also be tested, for instance when the code generator is not sufficiently trusted, or when safety-standards demand tests to be executed on code-level. The analysis effort is not wasted, because it still provides much higher coverage, and thus higher confidence to the manufacturer.

5) The integrated system is validated by means of HiL/PiL (Hardware/Processor-in-the-Loop) testing.

The overall method depicted in Figure 2 may repeated at different levels of abstraction to support the V&V-flow outlined here.

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3Model-learning is a technique for extracting models of observed behavior and thus an approximate automated abstraction technique. Currently it is not ready for industrial use.
4 EXAMPLE APPLICATIONS

The method presented in Section 3 is being adapted and evaluated by industrial partners through application in their respective use-cases. Industry lead use-case teams with academic partners and tool vendors collaborate to address the challenges defined by the use case.

4.1 A Hybrid Powertrain Control Unit

Figure 4 illustrates an approach being investigated by the automotive partner “AVL” in their use case concerning a hybrid powertrain control unit (HCU) that is responsible for coordinating the energy flows between engine, electrical motor, and the battery.

In this proposed workflow, the set of requirements are partitioned into requirements to be verified by testing, and requirements to be verified using static code analysis.

For the “functional requirements” (in Figure 4 meaning what the HCU should and must to under given stimuli) a behavioral model in UML Statecharts is made for the main purpose of using it for test case generation. The STSTest tool from the technology provider “Virtual Vehicle” takes the model, a test purpose (derived from the requirements) and generates one or more corresponding test cases. Moreover, test case generation is guided by a complexity analysis of the model with the aim of focusing testing e.g., generating more test cases that traverse highly complex model fragments, and to help test data selection.

The “non-functional requirements” (in Figure 4 understood as absence of runtime errors and guarantee of certain safety invariants) are formalized as assertions for the abstract interpretation based stati-
cally code analyzer Astrée, which will prove with certainty that the assertion holds, disprove it, or output warnings that it may not hold. If a warning is output, further analysis (typical manual inspection) is needed to determine the actual status.

Preliminary experiences are promising, and indicate that both V&V-coverage and quality of the SUT has improved significantly. However, it was also found that it was difficult to use the static code analyzer to get positive proofs of all the safety invariants.

If the method were followed further, this would suggest to extend the the proposed workflow to include another iteration where additional test objectives are added to further check (by testing) the unproven requirements.

4.2 Exploitation of A&T-results

The method suggests a feed-back loop where a V&V-result obtained using one A&T-step may be used in a subsequent one to improve its effectiveness or target it towards an identified problem. Figure 5 shows another example pattern for how model-based analysis and testing may be combined. The main aim is to perform model-based testing to check that an actual hardware/software system under test (SUT) conforms to the behavior specified in the test model. The work pattern proposes to:

1. The V&V-engineer creates the A&T-model capturing the designated set of (potentially formalized) requirements. Also he derives a set of test objectives (a.k.a test purposes) that are mandated to be checked by one or more test cases. Similarly, analysis objectives reflect important properties of the test model.

2. He uses a model-checking tool to analyze the test model. Without a thorough analysis of the test-model, the test engineer will have low confidence in the behavior of the model (whether it correctly reflects the requirements) and consequently whether the generated tests are valid according to the requirements; test cases generated from a model are only as good as the model which they are generated from.

Moreover, if a test case fails, the reason for the discrepancy is just as likely to be a modeling error as it is to be a defect in the SUT (or test harness). If full model-checking is not possible, most model-checkers support over- or under-approximations that may be tried, or simulation based verification such as statistical model-checking could be used.

3. A MBT tool generates test cases. Ideally, the MBT tool first generates test cases for the test objectives (because these reflect requirements that must be tested), and secondly complements these with test cases needed to satisfy coverage of model (specified behavior), and third obtain code coverage (actual implemented behavior), and finally complement with long test cases for deep behavior testing.

4. Once the test cases have been executed, a test report consisting of verdicts and log-files is generated.

5. The V&V-engineer inspects the test report, and checks if verdicts, coverage, and logs are as expected.

6. If a test failed and a defect is identified, or if the engineer finds behavior in the log that is suspicious, it would be valuable to have additional “similar” test cases generated to increase confidence in that no further defects lie along the troublesome test path. A similar idea is pursued in (Sharygina and Peled, 2001) but at the level of code in which a neighbor test case is defined to be a different branching point in the model chosen along the test case.

7. Another use of a test run (especially a failing or a suspicious one) is to import it into the original test model, and model-check the analysis objectives (thus requirements) against the behavior of the model along this particular trace; this will create a smaller set of behaviors for the model-checker.

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6Astrée is based on techniques developed by CNRS/ENS and developed/distributed by the tool vendor Absint http://www.absint.com/astree/index.htm
to examine, thus reducing state-space explosion, increasing its success rate, and ultimately confidence in the results. We remark that test models tend to be larger than the abstract design models typically used for model-checking, because of the number of components and data space needed to reflect the structure and interfaces of the SUT and its interfaces.

6 CONCLUSIONS

Modern embedded systems are so large and complex that they cannot be cost-effectively verified by a single technique, notation, and tool. It is not a question of whether one should do model-level analysis, code-level analysis, or model-based testing/simulation, but how best to use them systematically in an optimized combination.

It is very challenging to define a common method that are applicable in industrial practice, but we have here presented a promising proposal that is centered around common verification planning and status tracking, and iteratively exploiting results of one procedure to improve the effectiveness of other subsequent ones. The proposed method is currently being evaluated in context of real industrial use cases that are gradually applying more and more sophisticated combinations of analysis and testing. The proposed method seems general enough to capture most interesting combinations and workflows, but we are working on identifying and formalizing further specific combination approaches and representing these as A&T-patterns in the style of Figure 5 that can be instantiated by particular tools.

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